

**REPORT BY THE  
AUDITOR GENERAL  
OF CALIFORNIA**

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**A REVIEW OF THE DEPARTMENT OF CORRECTIONS'  
IMPLEMENTATION OF ITS SUBSTANCE ABUSE  
TREATMENT AND EDUCATION SERVICES**

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Kurt R. Sjoberg, Auditor General (acting)

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October 18, 1991

P-122

Honorable Robert J. Campbell, Chairman  
Members, Joint Legislative Audit Committee  
State Capitol, Room 2163  
Sacramento, California 95814

Dear Mr. Chairman and Members:

**Summary** The Office of the Auditor General presents its second of two reports concerning whether the Department of Corrections (department) has implemented the tasks outlined in its December 1989 report to the Legislature entitled, *Substance Abuse Treatment and Education Services for Inmates and Parolees*. These tasks, which the department scheduled itself to implement by July 1, 1991, will allow the department to establish additional substance abuse programs. During our review, we found that the department has implemented 51 (82 percent) of the 62 outlined tasks.<sup>1</sup> The 11 tasks remaining for the department to implement include changing regulations, expanding its pre-release program, and establishing a curriculum to educate inmates and parolees about drug abuse. The department, by completing these remaining tasks, should be able to provide inmates and parolees with earlier intervention and more treatment services that could assist them in their recovery from addiction.

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<sup>1</sup>Our previous report, issued in April 1991, found that the department implemented 21 (55 percent) of the 38 outlined tasks to be completed by January 1991.

**Background** Chapter 93, Statutes of 1989, required the department to submit to the Legislature, before December 1, 1989, a plan to identify the number of inmates needing substance abuse treatment and education programs, an outline of components of the treatment and education programs, and the tasks needing completion before these programs can begin, along with specific deadlines and estimates of costs. We analyzed those tasks, as outlined in the department's December 1989 report to the Legislature, and determined which tasks had been implemented by January 1991. We reported these findings in our previous report. We are performing this analysis again to determine how many more of these tasks have been implemented.

**Scope and Methodology** The Legislature asked us to periodically review and report on the department's progress in completing the tasks outlined in the department's December 1989 report. To fulfill the Legislature's request, we asked the department, in May 1990, to respond to us in 60 days, six months, and one year on its efforts to implement the outlined tasks. The department submitted a 60-day response in August 1990, a six-month response in January 1991, and a one-year response in July 1991. After receiving the department's 60-day and six-month responses, we issued a report in April 1991 in which we reported which tasks the department implemented according to its schedule. After receiving the department's one-year response, we are issuing this report.

To determine whether the department implemented the tasks outlined in its report, we contacted department officials responsible for administering the department's substance abuse programs. Additionally, we contacted department officials within the department's Education and Inmate Programs Unit and within the department's Parole and Community Services Division. Finally, we reviewed the department's contracts for substance abuse education and treatment programs.

### Some Tasks Not Implemented

The department's goal is to establish substance abuse treatment and education programs for all inmates and parolees over a three-year period. Accordingly, the department scheduled 62 tasks to be implemented by July 1, 1991. As the following table shows, the department has implemented 51 (82 percent) of the 62 tasks. The department has yet to implement 11 (18 percent) of the tasks.

#### Tasks Met for Treating and Educating Substance Abuse Offenders

| Project  | Number of<br>Tasks Scheduled<br>To Be Implemented<br>by July 1991 | Number of<br>Tasks Implemented |
|--|---|--------------------------------|
| Bay Area parole services network, Parole Region II | 4   | 4                              |
| Community services implementation                  | 8   | 8                              |
| Administrative sanctions                           | 3   | 1                              |
| Community-based demonstration project              | 6   | 5                              |
| Planning, evaluation, and coordination             | 5   | 5                              |
| Education for inmates and parolees                 | 4   | 3                              |
| Individual needs assessment                        | 4   | 4                              |
| Individual parolee needs assessment                | 3   | 3                              |
| Prison-based demonstration project                 | 6   | 6                              |
| Urine testing demonstration project                | 6   | 5                              |
| Program development (improving existing programs)  | 4   | 2                              |
| Technical assistance                               | 4   | 3                              |
| Senate Bill 1591 Substance Abuse Programs          | 5   | 2                              |
| <b>Total</b>                                       | <b>62</b>   | <b>51</b>                      |

According to department officials, these tasks were not implemented for various reasons. For instance, according to the chief of the department's Education and Inmate Programs Unit, the department has not evaluated its existing model pre-release programs as scheduled because the department does not have funding identified in the current budget to do so. Further, for another task, the unit responsible for performing it did not seem to

agree that the task should be performed. In the December 1989 report, the Office of Substance Abuse Programs stated that the department will expand the pre-release program to include five additional institutions. However, according to the chief of the department's Education and Inmate Programs Unit, the unit responsible for performing the task, the pre-release program did not include expansion of the model programs beyond the initial sites. The chief stated that pre-release education programs allow inmates to enhance the life skills necessary for success after release on parole. The model programs are based on a comprehensive pre-release education curriculum, which incorporates orientation and instruction on release skills, employability, and substance abuse.

Additionally, the department has not implemented a curriculum for educating inmates and parolees about substance abuse. According to the chief of the department's Education and Inmate Programs Unit, although the department has developed a personal responsibility curriculum for inmates, implementation of the curriculum is on hold pending funding decisions. The purpose of the curriculum is to emphasize the concept that offenders should be held accountable for their crimes and for their destructive behavior.

The department also has not implemented three tasks needed to begin Senate Bill 1591 Substance Abuse Programs because of a lack of program procedures and delays in constructing facilities. Under the authorization of Senate Bill 1591, the department plans to contract with at least six cities to build facilities to incarcerate local offenders. These facilities are called Community Correctional Facilities. In addition to the building of these facilities, the three tasks for implementing the Senate Bill 1591 Substance Abuse Programs involve the opening of six substance abuse treatment units. According to the assistant director for the Office of Substance Abuse Programs, the department cannot establish the evaluation criteria and information system until each facility develops program procedures. In addition, the department was forced to postpone the establishment of substance abuse treatment units for Senate Bill 1591 because of unanticipated delays in the development of the facilities. These delays included local jurisdictional problems in construction and operations along with budget constraints for program activities.

Another one of the 11 tasks is part of a plan to implement a community-based demonstration project in San Diego County. The uncompleted task is to increase the department's community treatment to include 60 to 90 parolees. This demonstration project will increase community services and referrals by parole agents and include an assessment and monitoring of each participant's progress. According to the department, this task was not implemented because the start of the prison portion of the program was delayed. As a result of these delays, the first parolees of this program did not participate in community treatment until June 1991. The department reports that approximately 60 parolees will have received community treatment by June 30, 1992.

Additionally, for one task, the department planned to change the regulation that allows institutions to restore worktime credits taken away for disciplinary offenses related to substance abuse. Although the department has approved the development of changes to revise the California Code of Regulations in this area, these changes are pending submission to the Office of the Legislative Analyst. The department did not explain why these changes are still pending.

Further, the department has yet to evaluate its technical assistance program. The development and evaluation of technical assistance was intended to be an ongoing activity of the Office of Substance Abuse Programs. However, according to the assistant director for the Office of Substance Abuse Programs, the department has decided not to formally evaluate its technical assistance efforts. He further stated that several substance abuse programs are in the start-up stages, and as a result, evaluations of technical assistance efforts are not necessary.

Finally, although the department has conducted random urinalysis at Pelican Bay State Prison, the department has not expanded its urine testing demonstration project to include one additional institution as planned and has not implemented regulatory changes to broaden the use of urine testing in correctional facilities. According to the department, the urine testing demonstration project will not be expanded until the department conducts a complete analysis of costs and benefits. The

department also said it will not implement the regulatory changes to broaden the use of urinalysis until the Pelican Bay State Prison urine testing program has been evaluated and resources become available. Random urine testing programs not only assess program effectiveness but can also help prison management to control inmate drug use in prison.

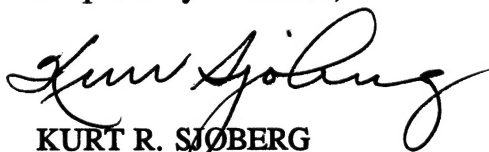
In implementing the remaining 11 tasks, the department will provide inmates and parolees with a more complete substance abuse education program and with improved earlier intervention and treatment services that may assist the inmates and parolees in their recovery from their addiction.

**Recommendation**

To enhance inmates' and parolees' opportunities to participate in substance abuse education and treatment programs, the department should reschedule the completion dates of the unmet goals. In its rescheduling, the department should consider the effect of budget and other resource restrictions.

We conducted this review under the authority vested in the auditor general by Section 10500 et seq. of the California Government Code and according to generally accepted governmental auditing standards. We limited our review to those areas specified in the audit scope section of this letter report.

Respectfully submitted,



KURT R. SJOBERG  
Auditor General (acting)

Staff: Thomas A. Britting, Audit Manager  
Keith Kuzmich

**Response to  
the Audit**

Youth and Adult Correctional Agency  
California Department of Corrections

# Memorandum

Date : October 7, 1991

To : Kurt Sjoberg, Auditor General (Acting)  
Office of the Auditor General

Subject : Report by the Office of the Auditor General, P-122: A Review of the Department of Corrections Implementation of its Substance Abuse Treatment and Education Services (DRAFT)

This memo has been prepared by the California Department of Corrections and is in response to the above cited draft. In your report you state that the Department has implemented 51 (82 percent) of the 62 outlined tasks. You also recommend the Department reschedule implementation of the remaining 11 tasks.

The Department agrees with your assessment of its efforts in completing the tasks outlined in the 1989 Report to the Legislature, "Substance Abuse Treatment and Education Service for Inmates and Parolee." A new Department plan on substance abuse is being developed and will be submitted to the Legislature February 1, 1992. Implementation of the 11 tasks identified in your report will be addressed in this new plan.


I want to take this opportunity to express the continued commitment by the Youth and Adult Correctional Agency to provide effective substance abuse services for drug-involved offenders. We are proud of the efforts currently underway in the Department of Corrections. We intend to build on our experiences and still promote effective programs even within this era of extremely limited resources.




Kurt Sjoberg  
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I also wish to compliment your staff for their careful and thoughtful analyses of the three progress reports submitted by the Department and we look forward to continuing this excellent working relationship.

Questions or requests for additional information about CDC's substance abuse programs should be directed to Dave Winett, Assistant Director of the Office of Substance Abuse Programs at 7-3707.

  
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JOE G. SANDOVAL, Agency Secretary  
Youth and Adult Correctional Agency

  
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JAMES H. GOMEZ  
Director of Corrections

**cc: Members of the Legislature  
Office of the Governor  
Office of the Lieutenant Governor  
State Controller  
Legislative Analyst  
Assembly Office of Research  
Senate Office of Research  
Assembly Majority/Minority Consultants  
Senate Majority/Minority Consultants  
Capitol Press Corps**